

## Strategic Risk Management Action Plans – March 2013

### Risk Scenario 1: Impact of welfare reform

<b>Risk Description:</b>	<b>The impact of welfare reform on our communities</b>		
<b>Vulnerability/Contributing factors:</b>	<ul style="list-style-type: none"> <li>• Welfare reform is being introduced e.g. Universal Credit / localising Council Tax</li> <li>• Already high levels of deprivation within the Borough</li> <li>• Households are moving to the area from London</li> <li>• Still in a recessionary period / Government is likely to make further cuts in funding.</li> <li>• Need to plan for the effects of a prolonged recession.</li> <li>• Uncertainty surrounding delivery and programme timetable for Universal Credit /Cap on benefits.</li> </ul>		
<b>Member Risk Owner</b>	Cllr Andrew Bowles, Leader	<b>Officer Risk Owner</b>	Brian Planner
<b>Current Likelihood/Impact (March 2013)</b>	<b>High (5) / Severe (3)</b>	<b>Target Likelihood/Impact</b>	<b>Significant (4) / Medium (2)</b>

<b>Current Actions/Controls</b>	<b>Adequacy of Controls</b>	<b>Additional Required Actions / controls</b>	<b>Critical Success Factor / outcomes</b>	<b>Responsibility for action (Director/Head of Service)</b>	<b>Assigned to – post title (If different)</b>	<b>Review frequency</b>
<ul style="list-style-type: none"> <li>• Support the development of Credit Union or other provider 'Jam Jar' accounts for tenants in social and private rented homes</li> </ul>	Good	No additional action required	Credit Union to have appropriate Jam Jar product available to all tenants as required, helping tenants to manage their finances and ensure rent payments are made.	Amber Christou	Amber Christou	Quarterly

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<ul style="list-style-type: none"> <li>Implemented a 'triage' system to the Housing Options front line</li> </ul>	Good	No additional action required	Reduce the percentage of household's that approach as homeless having to be placed in B&B.	Amber Christou	Housing Options Manager	Quarterly
<ul style="list-style-type: none"> <li>Early intervention to identify households at risk of repossession or eviction, as a result of the changes brought about by welfare reform</li> </ul>	Good	No additional action required	Reduce the percentage of household's at risk of repossession or eviction having to be placed in B&B.	Amber Christou	Housing Options Manager	Quarterly
<ul style="list-style-type: none"> <li>Joint approach through Kent Home Choice to tackle under occupation in social rented homes</li> </ul>	Good	No additional action required	Social tenants at risk of eviction affected by bedroom tax not evicted.	Amber Christou	Amber Christou	Quarterly
<ul style="list-style-type: none"> <li>County Wide approach through Kent Housing Options Group to identify and tackle street homelessness</li> </ul>	Good	No additional action required	Current number of rough sleepers maintained or reduced.	Amber Christou	Housing Options Manager	Quarterly
<ul style="list-style-type: none"> <li>Working through Kent Housing Group with Kent Forum to agree a dashboard of indicators to provide intelligence of the impact of welfare reform on our communities</li> </ul>	Good	No additional action required	Intelligence in place to enable scenario planning around future impacts of welfare reform on council services, and potential for inward migration.	Amber Christou	Amber Christou	Quarterly

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<ul style="list-style-type: none"> <li>• Introduction of the Localisation of Council Tax to households previously in receipt of full benefit.</li> </ul>	Good	No additional action required	Additional staff and redirection of other staff resources, to tackle non-payers and support vulnerable households.	Brian Planner	Zoe Kent	Quarterly
<ul style="list-style-type: none"> <li>• Project Plan in place for introduction of Universal Credit</li> </ul>	Good	No additional action required	Any negative impacts minimised for existing claimants, staff and council budget	Brian Planner	Ginny Wilkinson	Quarterly
<ul style="list-style-type: none"> <li>• ‘Young Persons Team’ to develop an instant response to an approach from a young homeless person:</li> </ul>		<ul style="list-style-type: none"> <li>• Agree protocol with Social Services and Housing Options</li> <li>• Arrange appropriate temporary accommodation for young people to use in Crisis</li> <li>• Bi-weekly case meetings between Social Services and SBC put in place</li> <li>• Monitoring sheet to be agreed and activated</li> </ul>	Reduction in time taken to give appropriate support from Social Services and Housing Options to find a solution, target within 6 weeks of homeless approach	Amber Christou	Roxanne Sheppard	Quarterly
<ul style="list-style-type: none"> <li>• Two new joint Housing Options/Housing Benefits (HB) posts which will target households under threat of eviction:</li> </ul>		<ul style="list-style-type: none"> <li>• Target known households at risk from Ctax/HB and DWP data with home Housing Options Visit</li> <li>• Target households on Repossession</li> </ul>	Successful Housing Options/prevention outcome in 50% of cases.	Amber Christou & Brian Planner	Roxanne Sheppard / Ginny Wilkinson	Quarterly

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		<p>Court List</p> <ul style="list-style-type: none"> <li>• Administer all DHP claims and deliver housing options to DHP cases</li> </ul>				
<ul style="list-style-type: none"> <li>• Develop ways of using Housing Benefit data to inform around population churn and impact of welfare reform in the area:</li> </ul>		<ul style="list-style-type: none"> <li>• Develop system to collect data on population churn from HB and Ctax, including in and out migration and from/to where</li> <li>• Collect data on change to property, eg: family home with single claim/Ctax registration changed to multiple claim/registration, etc</li> <li>• Collect data on change to number of HB claimants and compare with Ctax.</li> </ul>	<p>31<sup>st</sup> January 2013 to have systems in place</p> <p>An intelligence hub that can be update regularly to demonstrate impact of welfare reform on Swale on an on-going basis</p>	Brian Planner	Zoe Kent	Quarterly

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### Risk Scenario 2: Regeneration

<b>Risk Description:</b>	<b>Delivering our regeneration ambitions</b>		
<b>Vulnerability/Contributing factors:</b>	<ul style="list-style-type: none"> <li>• Facilitating/delivering regeneration is a key priority for the Council</li> <li>• There are currently difficult global and local economic conditions and significant financial pressures on investors</li> <li>• Government policies also have a significant impact on national and local economic conditions</li> <li>• Increase in planning legislation</li> <li>• Sittingbourne Plan/Local Plan obligations</li> <li>• Unemployment increasing</li> </ul>		
<b>Member Risk Owner</b>	Cllr John Wright	<b>Officer Risk Owner</b>	Pete Raine
<b>Current Likelihood/Impact (March 2013)</b>	<b>High (5) / Severe (3)</b>	<b>Target Likelihood/Impact</b>	<b>High (5) / Severe (3)</b>

Current Actions/Controls	Adequacy of Controls	Further Required Actions / controls	Critical Success Factor / outcomes	Responsibility for action (Director/Head of Service)	Assigned to – post title (If different)	Review frequency
<ul style="list-style-type: none"> <li>• Manage expectations by communicating clearly what the Council is able to control and influence in respect of investment decisions impacting upon the Borough.</li> </ul>	Further action identified	Improve the communication/information available regarding the investment and regeneration opportunities presented by the Borough.	Improved presence and regularly updated content on the Council's web-site	Head of Economy and Community Services	-	Quarterly

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<ul style="list-style-type: none"> <li>Maintain 'open for business' mentality across the Council, with good internal and external partnerships to identify and facilitate opportunities and remove blockages to investment and regeneration e.g. the development team approach to potential planning applications</li> </ul>	Good	No additional action required	<ul style="list-style-type: none"> <li>Mechanisms that adequately support partnership approach in place.</li> <li>Conflict between Council / Partners functions and priorities limited.</li> <li>Investment into Borough encouraged and secured</li> </ul>	Head of Economy and Community Services		Quarterly through Directorate Management Team
<ul style="list-style-type: none"> <li>Monitoring of Government policy and initiatives to identify threats and opportunities to local regeneration agenda</li> </ul>	Good	No additional action required	<ul style="list-style-type: none"> <li>Regular Policy bulletins produced.</li> <li>Opportunities and threats responded to and where appropriate pursued</li> </ul>	Head of Economy and Community Services / Head of Corporate Strategy & Communications		Monthly through 1-2-1's and Quarterly Directorate Management Team
<ul style="list-style-type: none"> <li>Corporate Plan Priority actions are in place and management will use scarce resources wisely, targeting effort at priorities and the most promising opportunities</li> </ul>	Good	No additional action required	<ul style="list-style-type: none"> <li>Opportunities and threats responded to and where appropriate pursued. External funding and investment secured for the Borough</li> </ul>	Head of Economy and Community Services		Monthly through 1-2-1's and Directorate Management Team

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<ul style="list-style-type: none"> <li>Council's Regeneration Fund available to resource priority activity if required</li> </ul>	Good	No additional action required	- Appropriate bids to Regeneration Fund supported and projects delivered within budget	Director of Regeneration / Head of Economy and Community Services		Monthly monitoring reports
<ul style="list-style-type: none"> <li>Key regeneration projects – e.g. Sittingbourne Town Centre project - being managed to Swale project management standards</li> </ul>	Good	No additional action required	- Risks to each project being formally identified and managed to ensure effective delivery	Head of Economy and Community Services		Quarterly

NB Whilst these are additional actions / controls to that which appears in the Risk Register they are all already in place and have very limited impact (if any) on likelihood or impact. The Councils position must be a largely reactive one, outside of maintaining an 'open for business' approach

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### Risk Scenario 3: Localism

<b>Risk Description:</b>	<b>Managing the implications of Localism</b>		
<b>Vulnerability/Contributing factors:</b>	<ul style="list-style-type: none"> <li>The Localism Act formalises the localism requirement but this also has implications for the viability of the Council in the longer term</li> <li>The Council needs to support local people in taking control of their communities and this includes engaging with them in identifying and developing the capacity and skills required</li> <li>Right to Challenge' could have a greater impact and likelihood in some areas than in others.</li> </ul>		
<b>Member Risk Owner</b>	Cllr Mike Cosgrove	<b>Officer Risk Owner</b>	Louise Matthews
<b>Current Likelihood/Impact (March 2012)</b>	Low (3) / Medium (2)	<b>Target Likelihood/Impact</b>	Low (3) / Medium (2)

<b>Current Actions/Controls</b>	<b>Adequacy of Controls</b>	<b>Further required actions / controls</b>	<b>Critical Success Factor / outcomes</b>	<b>Responsibility for action (Director/Head of Service)</b>	<b>Assigned to – post title (If different)</b>	<b>Review frequency/due date</b>
<ul style="list-style-type: none"> <li>Corporate plan 2012-2015 sets out commitment to localism</li> </ul>	Good	No additional action required	Clear understanding of Localism objectives and associated risks	Head of Corporate Strategy & Communications	Head of Corporate Strategy & Communications	Quarterly
<ul style="list-style-type: none"> <li>Localism Prospectus and commissioning timetable produced</li> </ul>	Good	No additional action required	Commissioning framework developed	Head of Corporate Strategy & Communications/Head of Commissioning and & Customer Contact	Head of Corporate Strategy & Communications/Head of Commissioning and & Customer Contact	Quarterly
<ul style="list-style-type: none"> <li>Community services Officer to be recruited by 31/3/13</li> </ul>	Good	No additional action required	Support provided which improves capacity of local	Head of Economy & Community Services	Head of Economy & Community Services	Within the corporate staff appraisal



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			communities and organisations			process
<ul style="list-style-type: none"> <li>Localism fund established</li> </ul>	Good	No additional action required	Fund used effectively - in line with Terms of Reference - to support local groups in the delivery of Localism objectives. Approximately £40k will be rolled forward to 2013/14	Head of Economy & Community Services	Head of Economy & Community Services	Quarterly
<ul style="list-style-type: none"> <li>Swale Local Scheme to support viable business plans that apply for loans</li> </ul>	Good	No additional action required	Improved quality of business plans accompanying loan applications	Head of Economy & Community Services	Head of Economy & Community Services	Quarterly
<ul style="list-style-type: none"> <li>Regular Localism meetings chaired by the portfolio holder.</li> </ul>	Good	No additional action required	Coordinated review of activities and delivery of localism objectives and early identification of risk/issues	Head of Economy & Community Services/Head of Corporate Strategy & Communications	Head of Economy & Community Services/Head of Corporate Strategy & Communications	Quarterly
<ul style="list-style-type: none"> <li>Localism action plan produced – to manage Corporate Plan actions</li> </ul>	Good	No additional action required	Coordinated planning of activity being undertaken by SBC which supports the localism agenda	Head of Economy & Community Services	Head of Economy & Community Services	Quarterly

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### Risk Scenario 4: Financial Uncertainty

<b>Risk Description:</b>	Financial Uncertainty/ Volatility		
<b>Vulnerability/Contributing factors:</b>	<ul style="list-style-type: none"> <li>Continued financial uncertainty around areas such as Comprehensive Spending Review, NNDR(Business Rates), localising Council Tax, use of reserves, Community Infrastructure Levy and income is reducing</li> <li>Further reductions in Government funding require the Council to make additional savings in the Medium Term Financial Plan</li> <li>Financial constraints may mean that the Council is forced into short term reactive planning</li> <li>Central Government and Kent County Council place responsibilities on the Council without transferring adequate funding</li> <li>Reducing levels of income – Business Rates, fees and charges.</li> </ul>		
<b>Member Risk Owner</b>	Cllr Duncan Dewar-Whalley	<b>Officer Risk Owner</b>	Nick Vickers
<b>Current Likelihood/Impact (March 2013)</b>	<b>Significant (4) / Major (4)</b>	<b>Target Likelihood/Impact</b>	<b>Significant (4) / Major (4)</b>

<b>Current Actions/Controls</b>	<b>Adequacy of Controls</b>	<b>Further required actions / controls</b>	<b>Critical Success Factor / outcomes</b>	<b>Responsibility for action (Director/Head of Service)</b>	<b>Assigned to – post title (If different)</b>	<b>Review frequency/ due date</b>
• Medium Term Financial Plan	Good	No additional action required	Balanced budget proposals submitted to Cabinet and agreed by Council	Head of Finance		SMT/Heads of Service have commenced work on savings options. Report to Informal Cabinet in July

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						and then regularly through to December Cabinet report and finally Council 19 February 2014
• Annual budget process	Good	Prepare the 2014/15 Revenue and capital Budget	Balanced budget proposals submitted to Cabinet and agreed by Council.	Head of Finance		Cabinet 4 <sup>th</sup> December 2013 and 5 <sup>th</sup> February 2014, Council 19 <sup>th</sup> February 2014
• Monthly Budget Monitoring	Good	No additional action required	Budget monitoring reports to SMT monthly and Cabinet and Scrutiny Committee on a quarterly basis.  No overspend 2013/14	Head of Finance		SMT monthly and Cabinet and Scrutiny Committee quarterly
• Information flows/networking e.g. Kent Forum, Kent Finance Officers, Local Government Association, LG Futures	Good	No additional action required	MTFP updates for 2014/15 and beyond commence Summer 2013.	Head of Finance		Intermediate review at SMT, Informal Cabinet and Cabinet

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### Risk Scenario 5: Becoming the Council we need to be

<b>Risk Description:</b>	Becoming the Council we need to be		
<b>Vulnerability/Contributing factors:</b>	Becoming the Council we need to be includes: <ul style="list-style-type: none"> <li>• Building strong relationships with residents and business communities</li> <li>• Commissioning and contract delivery</li> <li>• Building strong relationships with partners</li> <li>• Making a reality of our values</li> <li>• Reviewing the shape and size of the organisation</li> <li>• Effective workforce planning and staff engagement</li> <li>• Having the right IT capability and capacity</li> </ul>		
<b>Member Risk Owner</b>	Cllr Ted Wilcox	<b>Officer Risk Owner</b>	Mark Radford
<b>Current Likelihood/Impact (March 2013)</b>	<b>Low (3) / Severe (3)</b>	<b>Target Likelihood/Impact</b>	<b>Very Low (2) / Severe (3)</b>

<b>Current Actions/Controls</b>	<b>Adequacy of Controls</b>	<b>Required Actions / controls</b>	<b>Critical Success Factor / outcomes</b>	<b>Responsibility for action (Director/Head of Service)</b>	<b>Assigned to – post title (If different)</b>	<b>Review frequency/ due date</b>
<ul style="list-style-type: none"> <li>• Communications programmes to engender cooperation from/support of residents and business communities</li> </ul>	Good	No additional action required	Evidence of wider engagement levels with residents and business  Improved customer satisfaction	Residents – Head of Corporate Strategy and Communications and Head of Commissioning and Customer Service	Comms and Media Officer  Customer Service Manager	In accordance with Comms. Strategy

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				Business- head of economic and community services		
• Effective workforce planning	Good	No additional action required	Workforce Strategy to provide clear and flexible strategic direction	Director of Corporate Services/ Head of HR	Head of HR	Monthly as part of the People SMT
• Staff engagement/ making a reality of our values	Good	No additional action required	Implementation of agreed engagement plan April 2013	Director of Corporate Services/ Head of HR	Head of HR	Monthly as part of the People SMT
• Leadership development	Good	No additional action required	Corporate Training /Development programme has been agreed by SMT	Director of Corporate Services/ Head of HR	Training and Development Team	Through appraisal process and midyear reviews
• Commissioning and contract delivery	Good	No additional action required	Commissioning and procurement framework agreed  Commissioning framework to reflect Community Right to Challenge	Head of Commissioning and Customer Service  Head of Economy and Community	Commissioning Team	Progress reports to SMT
• Robust performance management, internal audit and risk management frameworks	Good	No additional action required	Regular performance reports to SMT and cabinet with actions escalated. Audit activities and duties discharged through an effective Audit Committee. External validation through the annual governance statement.	Audit and risk management Head of Audit Partnership Performance- Head of Corporate Strategy and Communications	Audit Manager Swale and Maidstone	Through agreed reporting cycles of SMT, Cabinet and Audit Committee and programmed Board meetings

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<ul style="list-style-type: none"> <li>Having the right IT capability and capacity – ICT MKIP partnership agreed June 2012</li> </ul>	Good	No additional action required	Implementation of partnership, monitored through MKIP Management Board and ICT programme Board	Director of Corporate Services and Head of ICT	Head of ICT	Partnership in place .Quarterly review of progress through programmed Board meetings
<ul style="list-style-type: none"> <li>MKIP Programme/ Partnership working – On-going monitoring of existing and new arrangements through the MKIP management Boards</li> </ul>	Good	No additional action required	Feedback from respective Boards through the established reporting channel	Chief Executive and Director of Corporate Services	Representation of respective Boards	Review of progress through regular programmed Board meetings

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### Risk Scenario 6: Safeguarding

<b>Risk Description:</b>	<b>Safeguarding People<sup>1</sup></b>		
<b>Vulnerability/Contributing factors:</b>	<ul style="list-style-type: none"> <li>Although KCC is the statutory Safeguarding Authority and has the greater burden of responsibility, Swale also has statutory safeguarding responsibilities which it must fulfil</li> <li>The Council has key responsibilities for safeguarding vulnerable adults and children and in doing so is responsible for spotting potential instances of harm / preventing them from suffering harm</li> <li>The Council's Safeguarding Policy was approved in March 2012.</li> </ul>		
<b>Member Risk Owner</b>	Cllr Lesley Ingham	<b>Officer Risk Owner</b>	Emma Wiggins
<b>Current Likelihood/Impact (March 2013)</b>	Low (3) / Major (4)	<b>Target Likelihood/Impact</b>	Low (3) / Major (4)

<sup>1</sup> This risk relates to Safeguarding insofar as Safeguarding is a statutory duty of the Borough Council. Other authorities, in particular Kent County Council, retain the majority of the statutory burden relating to Safeguarding of both children and vulnerable adults.

<b>Current Actions/Controls</b>	<b>Adequacy of Controls</b>	<b>Further required actions / controls</b>	<b>Critical Success Factor/ outcomes</b>	<b>Responsibility for action (Director/Head of Service)</b>	<b>Assigned to – post title (If different)</b>	<b>Review frequency</b>
<ul style="list-style-type: none"> <li>Revised Safeguarding Policy in March 2012 implemented.</li> </ul>	Good	Further updates/review of policy wording required	Annual review of the Safeguarding policy	Head of Economy and Community	Safeguarding Officer Katharine Davis	Yearly
<ul style="list-style-type: none"> <li>Revised Safeguarding procedures in place.</li> </ul>	Good	Audit to ensure all staff have read and know procedures.	Evidence from audit that all staff know procedures and evidence of	Head of Economy and Community	Safeguarding Officer Katharine Davis	June 2013

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			procedures being followed			
<ul style="list-style-type: none"> <li>Regular safeguarding training.</li> </ul>	Good	1 Audit of all staff training requirements	Training implemented and skills/competencies in place	Head of Economy and Community	Safeguarding Officer Katharine Davis	Audit completed January 2013. Ongoing.
<ul style="list-style-type: none"> <li>SPOC and deputy for safeguarding enquiries in place.</li> </ul>	Good	No additional action required	Safeguarding Officer appointed	Head of Economy and Community	Safeguarding Officer Katharine Davis	Completed September 2012 – monitoring ongoing
<ul style="list-style-type: none"> <li>CRB audit and revised procedures put in place</li> </ul>	Good	Audit required	Audit to be completed. Procedures to be embedded into organisation	Head of Economy and Community	Safeguarding Officer Katharine Davis	September 2013.
<ul style="list-style-type: none"> <li>Recruitment of a dedicated 0.5 FTE Safeguarding Officer.</li> </ul>	Good	No additional action required	Safeguarding officer appointed	Head of Economy and Community	Safeguarding Officer Katharine Davis	Completed September 2012 – monitoring ongoing

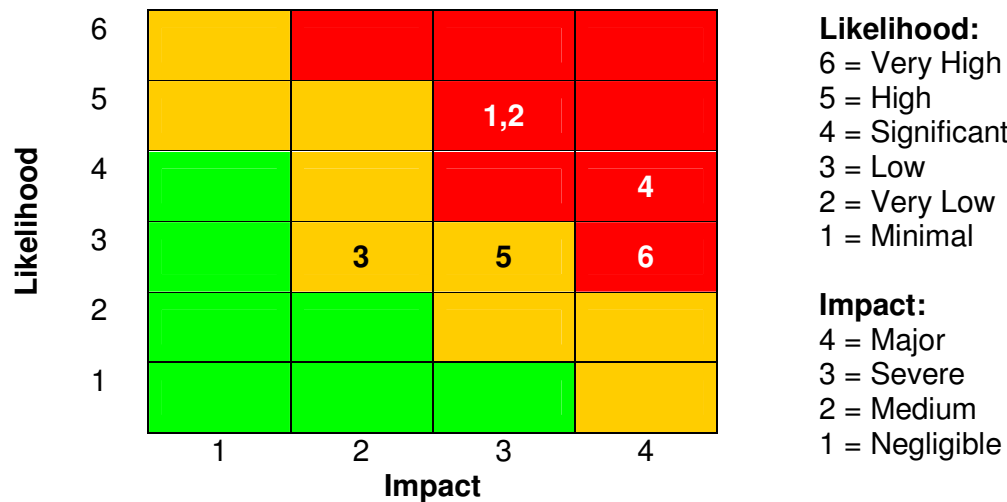


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### Risk Prioritisation Matrix (March 2013)

Swale has identified six Strategic Risks which have been prioritised using the matrix below. These represent the key risks that the Council faces in delivering its objectives, which will be managed by the nominated Portfolio-holders and Senior Managers, and regularly reviewed by the Cabinet.

The risks are prioritised in terms of residual risk by taking account of actions and controls which are already in place to manage the risks.



#### Swale Strategic Risks:

- Risk Scenario 1 = Impact of Welfare Reform on our communities (5,3)
- Risk Scenario 2 = Delivering Regeneration Ambitions (5,3)
- Risk Scenario 3 = Managing the implications of Localism. (3,2)
- Risk Scenario 4 = Financial uncertainty/ volatility (4,4)
- Risk Scenario 5 = Becoming the Council we need to be (3,3)
- Risk Scenario 6 = Safeguarding People (3,4)